



9-18-06

FFW

Docket No. 8201/Y02/SYNX/SYNX/JW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Re: Inventor(s): Michael R. Rice, Eric A. Englhardt, Vinay Shah, Martin R. Elliott, Robert B. Lowrance and
Jeffrey C. Hudgens
Title: SYSTEMS AND METHODS FOR TRANSFERRING SMALL LOT SIZE SUBSTRATE CARRIERS
BETWEEN PROCESSING TOOLS
Serial No.: 10/764,620
Filed: January 26, 2004
Examiner: Charles R. Kasenge
Group Art Unit: 2125

Transmitted herewith is:

- ☒ PTO Form 1449;
☒ Information Disclosure Statement with twelve cited references; and
☒ Return postcard.

FEE CALCULATION					
Fee Items	Claims Filed	Included With Basic Fee	Extra Claims	Fee Rate	Total
Total Claims	N/A	- 20 =	-0-	X \$50.00	\$0.00
Independent Claims	N/A	- 3 =	-0-	X \$200.00	\$0.00
Basic Filing Fee (\$300.00), Utility Search Fee (\$500.00), Utility Examination Fee (\$200.00)				\$1000.00	\$0.00
TOTAL FEES					\$0.00

☐ The Commissioner is hereby authorized to charge \$0.00 to Deposit Account No. 04-1696.

☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1696. A duplicate copy of this transmittal is enclosed.

☒ Please address all future correspondence to:

Customer # 41161
Dugan & Dugan, PC
55 South Broadway
Tarrytown, NY 10591

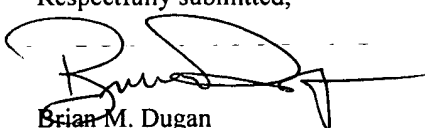
I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail Receipt No. EV977438659US

Date of Deposit: September 15, 2006

Signature: 

Respectfully submitted,


Brian M. Dugan
Registration No. 41,720
(914) 332-9081

Express Mail Label No. EV977438659US

PATENTS
8201/Y02/SYNX/SYNX/JW



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Michael R. Rice et al.
Serial No. : 10/764,620
Filed : January 26, 2004
For : SYSTEMS AND METHODS FOR TRANSFERRING SMALL
LOT SIZE SUBSTRATE CARRIERS BETWEEN
PROCESSING TOOLS
Group Art Unit : 2125
Customer No. : 41161

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants wish to call the attention of the Examiner to the
following references:

U.S. Patent Application Publication No. 2002/0094588

A1, Fan et al.

U.S. Patent Application Publication No. 2004/0187342

A1, Izuta

U.S. Patent No. 5,183,378, Asano et al.

U.S. Patent Application Publication No. 2004/0049398,
Gartland et al.

U.S. Patent Application Publication No. 2005/0096775,
Wang et al.

U.S. Patent No. 6,240,335, Wehrung et al.

U.S. Patent No. 3,952,388, Hasegawa et al.

U.S. Patent No. 6,839,603, Karasawa

U.S. Patent No. 5,696,689, Okumura et al.

Foreign Art Reference No. JP 06132696 (Japan)

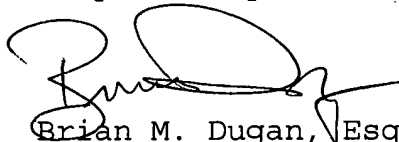
Foreign Art Reference No. JP 63234511 (Japan)

Foreign Art Reference No. EP 0 850 720 A1 (EPO)

These references are also listed on the accompanying
Information Disclosure Statement (Form PTO-1449).

Consideration of the foregoing in relation to this
patent application is respectfully requested.

Respectfully Submitted,



Brian M. Dugan, Esq.
Registration No. 41,720
Dugan & Dugan, PC
Attorneys for Applicants
(914) 332-9081

Dated: September 15, 2006
Tarrytown, New York

U.S. Department of Commerce, Patent and Trademark Office

Docket No.:

8201/Y02/SYNX/SYNX/JW

Serial No.:

10/764,620

LIST OF RELEVANT ART CITED BY APPLICANT

(Use several sheets if necessary)

Applicants:

Michael R. Rice et al.

Filing Date:

January 26, 2004

Group:

2125

Patent Documents

*Examiner Initial		Document Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate
	US-1	2002/0094588 A1	07/18/02	Fan et al.			
	US-2	2004/0187342 A1	09/30/04	Izuta			
	US-3	5,183,378	02/02/93	Asano et al.			
	US-4	2004/0049398	03-2004	Gartland et al.			
	US-5	2005/0096775	05-2005	Wang et al.			
	US-6	6,240,335	05-2001	Wehrung et al.			
	US-7	3,952,388	04-1976	Hasegawa et al.			
	US-8	6,839,603	01-2005	Karasawa			
	US-9	5,696,689	12-1997	Okumura et al.			
	US-10						
	US-11						

Foreign Patent Documents

Translation

		Document Number	Date	Country	Class	Subclass	Yes	No
	F-1	JP 06132696	05/13/94	Japan			Abstract	
	F-2	JP 63234511	09/29/88	Japan			Abstract	
	F-3	EP 0 850 720 A1	07/01/98	EPO			X	
	F-4							
	F-5							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	OT-1	
	OT-2	
	OT-3	

Examiner

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.